

# **DEFENSE THREAT REDUCTION AGENCY**

## **BROAD AGENCY ANNOUNCEMENT**

### **HDTRA1-14-CHEM-BIO-BAA**



## **CHEMICAL / BIOLOGICAL TECHNOLOGIES DEPARTMENT**

### **FY2014 – FY2016 Program Build**

**20 FEBRUARY 2013**

## TABLE OF CONTENTS

SECTION NO.	PAGE NO.
1. INTRODUCTION AND BACKGROUND .....	3
2. PURPOSE .....	3
3. BAA APPROACH AND OVERVIEW .....	4
4. ELIGIBILITY .....	7
5. POINTS OF CONTACT .....	7
6. PROPOSAL SUBMISSION .....	8
7. TOPICS .....	11
8. INFORMATION TO BE REQUESTED FROM SUCCESSFUL OFFERORS.....	11
9. EXPORT CONTROL NOTIFICATION .....	11
10. LIMITATION ON OTHER TRANSACTIONS .....	12
11. TECHNICAL AND ADMINISTRATIVE SUPPORT BY NON-GOVERNMENT PERSONNEL .....	13
12. MANUFACTURING READINESS LEVELS (MRL) .....	13
13. SYSTEM FOR AWARD MANAGEMENT (SAM).....	14
14. PROTECTION OF HUMAN SUBJECTS .....	15
15. ANIMAL USE .....	17
16. BIOLOGICAL DEFENSE RESEARCH PROGRAM (BDRP) REQUIREMENTS: BIOSURETY AND SELECT AGENT USE; CHEMICAL AGENT USE.....	18
17. ORGANIZATIONAL CONFLICT OF INTEREST ADVISORY .....	18
18. INTELLECTUAL PROPERTY .....	19
19. EARNED VALUE MANAGEMENT SYSTEM.....	21
20. SUBCONTRACTING .....	21
21. RECOMMENDED AWARD VEHICLE AND CONTRACT TYPE.....	22
22. AUTHORIZED NEGOTIATORS .....	22
23. STATEMENT OF CURRENT AND PENDING SUPPORT .....	22
24. MODIFIED PREAWARD CHECKLIST - SF1408.....	22
25. FORWARD PRICING RATE AGREEMENT .....	22
26. CONFIRMED PROPOSAL EXPIRATION DATE.....	22
27. EXHIBITS: STANDARD FAR/DFARS/DTRA CLAUSES.....	23
28. EXHIBIT: CONTRACT DATA REQUIREMENTS LIST (CDRL) .....	23
29. LIFE SCIENCES DUAL USE RESEARCH OF CONCERN (DURC) .....	23
30. LIST OF ATTACHMENTS/EXHIBITS: .....	244

## 1. INTRODUCTION AND BACKGROUND

### 1.1. Introduction.

1.1.1. The Defense Threat Reduction Agency's (DTRA) mission is to safeguard America and its allies from Weapons of Mass Destruction (WMD) (chemical, biological, radiological, nuclear, and high yield explosives) by providing capabilities to reduce, eliminate, and counter the threat, and mitigate its effects.

1.1.2. The DTRA Chemical and Biological Defense Program (CBDP) was established by the Department of Defense (DoD) to provide state-of-the-art defense capabilities to allow military forces of the United States to operate and to successfully complete their missions in chemical and biological warfare environments. The scope of mission efforts and the priorities assigned to specific projects are influenced by changes in military and civilian Chemical and Biological Defense (CBD) science and technology, advanced developments, operational requirements, military threat assessments, and national defense strategies. To keep pace with defense capability requirements, the CBDP as part of its mission, routinely promulgates chemical and biological research. The comprehensive research program encompasses both intramural and extramural sources, and the role of each is vital to the fulfillment of the Program objectives.

1.2. Active topics solicited are presented in Attachment 9. This Broad Agency Announcement (BAA) is an extramural solicitation. Intramural Offerors should respond to the JSTO-CBD FY14/16 Service Call, which mirrors this BAA.

## 2. PURPOSE

2.1. The purpose of this BAA is to solicit research proposals for Chemical and Biological Defense Program, DTRA requirements for the Chemical / Biological Technologies Department BAA for the FY2014-2016 program.

2.2. The Chemical / Biological Technologies Department (CB), in its continuing mission, seeking new and innovative ideas for experimental and theoretical development of technologies to fill DoD requirements for chemical and biological defense. The goal is to identify and select science and technology projects that can be transitioned to joint acquisition programs. Proposals may only address the current topics presented in Attachment 9 of this document.

2.3. The DoD CBDP, DTRA, and the Joint Science and Technology Office for Chemical and Biological Defense (JSTO-CBD) are seeking optimum approaches to meet technology objectives within the following areas: Diagnostics, Detection, and Disease Surveillance, Physical Science and Technology, Translational Medical, Advanced and Emerging Threats, and Information Systems Capability. General goals of each area are listed below. Specific topics (Attachment 9) may address one or more of the areas outlined below:

2.3.1. Detection – Chemical and Biological: The goal of the Detection area is to provide real-time capability to detect, identify, characterize, locate and warn against all known or validated CB warfare agents in addition to other chemical or biological threat materials (e.g., Toxic

Industrial Chemicals).

2.3.2. Information Systems Capability Development: The goal of the Information Systems Capability Development area is to provide information technology superiority with respect to the Chemical, Biological, Radiological, and Nuclear (CBRN) environment.

2.3.3. Protection – Individual and Collective: The Protection Capability Area seeks to provide unencumbered full-dimensional protection to the war fighter for both personal protective gear (individual protection) and protection of large scale fixed or mobile environments (collective protection).

2.3.4. Hazard Mitigation: The goal of the Hazard Mitigation Capability Area is to develop technologies that can rapidly restore pre-contamination capabilities with a minimum of logistical impact.

2.3.5. Threat Agent Science: The Threat Agent Science Capability Area seeks to maintain and develop scientific knowledge of current, non-traditional, and emerging threats in addition to studying areas such as low level toxicity, agent fate, and improved simulant materials.

**NOTE: Offerors should review the requirements and topics listed under the Non-Traditional Threat Agent HDTRA1-14-17-NTA-BAA to ensure that their proposal is submitted under the correct BAA.**

2.3.6. Medical Pretreatments: The goal of the Pretreatments Capability Area is to conduct research in order to develop lead candidate vaccines and chemical pretreatments and protectants that can be administered before exposure to provide both specific and broad-spectrum protection against validated chemical or biological agents. Categories of threat agents addressed in this capability area include nerve agents, viruses, bacteria and toxins.

2.3.7. Medical Diagnostics: Medical diagnostics involves the diagnosis of infection by or exposure to bacterial, viral, or toxin agents (biological diagnostics) or of exposure to nerve, vesicant, respiratory and blood agents (chemical diagnostics) with the goal to rapidly identify the causative agent in a remote environment prior to onset of symptoms.

2.3.8. Medical Therapeutics: The goal of the Therapeutics Capability Area is to develop lead candidate medical treatments and pharmaceuticals that, when administered after exposure to a chemical or biological agent, mitigate or curtail the effects of that exposure and sustain forces operating in a CBW hazard area. Medical Therapeutics is segregated into biological countermeasures and chemical countermeasures.

2.3.9. Threat Surveillance - Chemical and Biological: The goal of the Threat Surveillance area is to deliver cutting edge Integrated Early Warning, Information Management and Applied Analytic capabilities to the warfighter; virtually connect them to these capabilities and other system users for rapid situational awareness, course of action (CoA) analysis and decision support.

### 3. BAA APPROACH AND OVERVIEW

3.1. This BAA remains effective for proposal selection for three years from the initial date of issuance with the ability to award contracts for four years. Multiple calls for proposals may occur in conjunction with this BAA. The topics and milestones (Attachment 9) published in the

initial issuance are firm. In the future, ongoing, new or emerging requirements may necessitate amendment of the BAA to include new or different topics. At any time when new topics are added, Attachment 9 will be amended to incorporate new topics and milestones associated the time period for submissions. These amendments are expected periodically throughout the effect date of the BAA. This BAA and amendments issued thereto will be posted to the Federal Business Opportunities (FedBizOpps) website. It is the responsibility of the offerors and interested parties to be aware of BAA amendments by regularly checking the FedBizOpps website and registering at [www.fbo.gov](http://www.fbo.gov) to receive notifications and updates to this specific solicitation.

3.2. Proposals will be accepted and considered that combine Basic Research with Applied Research, Applied Research, and/or Advanced Technology Development as specified in each topic. This BAA will not consider Advanced Component Development and Prototypes under Section 819 of Public Law 111-84. However, offerors may propose efforts necessary to evaluate integrated advanced development to expedite technology transition from the laboratory to operational use under a final option and limited to a period of one year while a new competitive effort can be awarded. Depending on the nature of requirements and/or available funding, each of these research categories may or may not be included in the most current List of Topics. Attachment 9 may be amended to add new topics throughout the requirement period. Each subsequent amended Attachment 9 requesting submissions for new topics will incorporate new milestones specific to those topics.

3.3. The Government encourages proposals that span a wide spectrum of possible technical and business solutions in response to the specific technology topics stated in Attachment 9. Proposed collaboration with a DoD laboratory should be clearly identified in the proposal, and must be supported with a letter of intent from that laboratory's Commander. The Government reserves the right to award any combination of approaches which offer the best overall value to the Government, and to oversee any and all processes and approaches once ongoing.

3.3.1. Offerors choosing to use the services of Government Laboratories in the performance of work proposed may be required to enter into a Cooperative Research and Development Agreement (CRADA) with the Laboratory. A CRADA is not a FAR-based agreement; it is authorized by 15 U.S. Code Section 3710(a). A CRADA will be separate from the DTRA procurement instrument, with its own unique terms, in particular related to Intellectual Property. It would be prudent for the Offeror to discuss those unique terms with the Laboratory prior to submitting a proposal under this BAA. DTRA will not facilitate, nor be involved in, the negotiation of the agreements with Government Laboratories.

3.3.2. In accordance with FAR 17.503(e), DoE Order 481.1C and DoE Acquisition Regulation DEARS 970.1707-3, DoE FFRDC participants must provide a copy of the written certification from the DoE sponsor authorizing its performance of the proposed effort as a subcontractor. The DoE sponsor must provide written certification that the proposed work –

- (1) is consistent with or complimentary to missions of DoE and the facility to which the work is to be assigned,
- (2) will not adversely impact programs assigned to the facility, and
- (3) will not create a detrimental future burden on DoE resources.

DTRA will provide to the sponsoring agency confirmation that the requested work will not place the FFRDC in direct competition with domestic private industry.

3.3.3. In accordance with FAR 17.503(e), 35.017(a)(2) and 35.017-3, FFRDC participants (other than DoE FFRDCs) must provide documentation from the FFRDC sponsor authorizing its performance of the proposed effort.

3.4. A full range of flexible acquisition related statutory authority arrangements available to DTRA are possible results from this announcement, including but not limited to, Contracts, Task Orders, and Other Transaction Agreements (OTA). The government does not intend to award grants or Cooperative agreements under this solicitation. Each of these procurement instruments offers different advantages, liabilities and responsibilities for the Government. Except for OTAs, the Government actions under this BAA shall adhere to the requirements of the Federal Acquisition Regulation (FAR) and Defense Federal Acquisition Regulation Supplement (DFARS).

3.5. The government intends to award Fixed Price, Cost Reimbursable and Cost Plus Fixed Fee type contracts.

3.5.1. Research and Development contracts are typically Cost Reimbursement contracts. In accordance with FAR 16.301-3(a)(3), Cost Reimbursement contracts require that the contractor's accounting system is adequate for determining costs applicable to the contract. Therefore, DTRA will request that the Defense Contract Audit Agency (DCAA) perform an audit on your proposal and accounting system prior to entering into contract negotiations. **Failure to have an adequate accounting system will preclude the Offeror from receiving a cost type contract (per section 3.5, fixed price contracts may be awarded, which don't require an adequate accounting system).**

3.6. DTRA intends to create an environment where potential Offerors are willing to share commercially generated research and development with the Government. The Government seeks to ultimately acquire the best products and technology in addition to offering the appropriate level of protection of corporate and institutional intellectual property rights, thus encouraging participation by a broad spectrum of leading-edge technology developers.

3.7. Funding for participation in this program is highly competitive and the cost of proposed technologies should be considered. Historically, Physical Science and Technology awards ranged from approximately \$315,126 to \$3,761,646 with periods of performance ranging from 12 to 60 months. Medical Science and Technology awards ranged from approximately \$1,350,356 to \$11,818,827 with periods of performance ranging from 12 to 60 months. The Government reserves the right to fund all, some, one, or none of the proposals submitted; may elect to fund only part of a submitted proposal; and may incrementally fund any or all awards under this BAA. In either case, the PCO will have the ultimate authority and responsibility to make final scope determinations for selections of proposals that will not be totally funded to ensure the portion selected meets the solicited requirements. In addition, the Government reserves the right to create and maintain a reserve list of proposals for potential funding, in the

event that sufficient funding becomes available. All awards are subject to the availability of funds. Offerors that are not responsive to government requests for information in a timely manner, defined as meeting government deadlines established and communicated with the request, may be removed from award consideration.

#### 4. ELIGIBILITY

4.1. Proposals submitted for this BAA will be considered from the following U.S. and Foreign Enterprises:

- Industrial/commercial concerns including small businesses
- Accredited Degree granting colleges and universities
- Not-for-profit organizations
- Other Non-U.S. sources

4.2. The following entities may not participate as prime contractors nor furnish principal investigators in awards made under BAA but may act as subcontractors:

- DoE sponsored FFRDCs provided that authorization is obtained from the DoE sponsor (see Section 3.3.2.).
- Federal laboratories and FFRDCs other than DOE sponsored FFRDCs specified above (see Section 3.3.3.).
- U.S. Government agencies and organizations
- Academic institutions that are federal government organizations (e.g., Naval Postgraduate School)

NOTE: FFRDCs and other intramural Offerors should see the JSTO-CBD FY14/16 Service Call.

**4.3. All Offerors proposing a cost type contract are required in accordance with FAR 16.301-3 to have an adequate accounting system for determining costs applicable to the contract.**

#### 5. POINTS OF CONTACT

E-mail address for all BAA correspondence and questions	<a href="mailto:CB-FY14-16BAA@dtra.mil">CB-FY14-16BAA@dtra.mil</a>
BAA Announcements posted in Federal Business Opportunities, FedBizOpps	<a href="http://www.fbo.gov">http://www.fbo.gov</a>
DTRA Proposal Submission Website (requires registration prior to proposal submission)	<a href="http://www.dtrasubmission.net">http://www.dtrasubmission.net</a>
DTRA Website	<a href="http://www.dtra.mil">http://www.dtra.mil</a>

Questions regarding the technical and administrative content of this BAA must be sent to the DTRA e-mail address listed above. All questions must include the BAA number in the subject line. DTRA will post questions and answers to the FedBizOpps website that are relevant to all potential Offerors. It is the Offeror's responsibility to periodically check the FedBizOpps

website to view postings of questions and answers, in addition to any applicable amendments to the BAA.

## 6. PROPOSAL SUBMISSION

6.1. Major Milestones: Refer to Attachment 9.

6.2. Application and Submission Information.

6.2.1. Registration. All Offerors are required to register at the DTRA proposal submission website as stated in Section 5 prior to submission of Phase I proposals. Detailed registration and submission instructions are available at the site.

6.2.1.1. The Registration must be submitted by a central Business Point of Contact (BPOC) rather than individual Principal Investigator personnel. A BPOC is a person who is given the responsibility of coordinating all submissions from individual Principal Investigators at his or her work location and is the only individual who may access the DTRA proposal submission website. The intent is that all submissions from an organization be coordinated and submitted by a single, identified responsible party. Failure to register in accordance with instructions may render them ineligible for participation in this BAA.

6.2.1.2. Offerors must be aware that it is their responsibility to ensure that e-mail notifications reach the designated BPOC and that e-mail notifications are not blocked due to the use of 'spam blocker' software or other means that the recipient's Internet Service Provider may have implemented as a means to block the receipt of certain e-mail messages. Additionally, it is the responsibility of the BPOC to inform DTRA of any updates to e-mail addresses for both themselves as the registered BPOC and for the designated Principal Investigator.

**IMPORTANT:** Registration at the DTRA proposal submission website is NOT the same as registering at System for Award Management website or FedBizOpps websites. Failure to register at the DTRA proposal submission website will prevent an Offeror's submission of documents required and thus render the Offeror ineligible for participation in this BAA.

6.2.2. Submission Process. All proposals must be submitted electronically through the DTRA proposal submission website. Any proposal submitted by any means other than the DTRA proposal submission website will not be considered (e.g., hand-carried, postal service, commercial carrier, e-mail). Offerors are responsible for ensuring compliant and final submission of their proposals in a timely manner. **Time management to upload and submit is wholly the responsibility of the Offeror. If a timely submission is not fully uploaded prior to the cutoff date/time, the proposal will not be considered.** The Offeror must verify the submission of their proposal package by printing the electronic receipt (time and date stamped) that appears on the final screen following compliant submission of a proposal to the DTRA proposal submission website.

6.2.3. Using the DTRA proposal submission website, all Offerors must prepare Proposal Cover Sheets for each Phase I and invited Phase II proposal submitted. All data point requirements



must be completed in every cover sheet. Once the cover sheet is saved, the system will assign a unique proposal number for each Phase I submission and a different unique proposal number for each invited Phase II submission. Cover sheets may be edited as often as necessary until the submission period closes. All submissions must be dated.

6.2.4. Notifications to Offerors. Selection and non-selection notifications will be sent via e-mail to Offerors (specifically, the registered BPOC and the designated Principal Investigator as entered on the proposal cover page on the DTRA proposal submission website). The e-mail will be sent from the DTRA proposal submission website on or about the date specified in Attachment 9. A synopsis in the form of a debriefing summary statement will be electronically available to Offerors via the DTRA proposal submission website. The e-mail notifications will advise of the statement availability. Additionally, notification of apparent successful Offerors will be posted to the FedBizOpps page on or about the date specified in Attachment 9.

6.3. Two-Phased Submission. This BAA will be conducted in two phases as follows:

6.3.1. **Phase I** – Interested Offerors are required to complete a cover sheet using the DTRA proposal submission website, and must submit Quad Chart/White Papers in accordance with instructions provided in this section of the BAA and within the deadlines specified in Attachment 9. Proposals will be evaluated against criteria as described in Attachment 10 of this BAA. Based on this evaluation, selected Offerors will be invited to submit full proposals for evaluation under Phase II.

6.3.1.1. Quad Chart Format: All Quad Charts should include the information indicated on the sample template located in Attachment 2.

6.3.1.2. White Paper Narrative Format. The White Paper narrative expands on the Quad Chart presentation and instructions for format, preparation and content are located in Attachment 3.

6.3.1.3. Classification: All Quad Chart/White Paper submissions must be UNCLASSIFIED.

6.3.1.4. Disclosure of Information

6.3.1.4.1. The Quad Chart portion of the submission shall not contain information deemed trade secret, confidential or proprietary by the Offeror.

6.3.1.4.2. All information provided in the White Paper that is marked appropriately will be considered proprietary information.

6.3.1.5. In the event that properly marked data contained in a white paper/proposal submitted in response to this BAA is requested pursuant to the Freedom of Information Act, 5 USC 552, the Offeror will be advised of such request and, prior to such release of information, will be requested to expeditiously submit to DTRA a detailed listing of all information in the white paper/proposal which the Offeror believes to be exempt from disclosure under the Act. Such action and cooperation on the part of the Offeror will ensure that any information released by DTRA pursuant to the Act is properly identified.

6.3.1.6. Notification to Offerors: Notifications of invitation to participate in Phase II and notifications of non-selection will be sent via e-mail to Offerors (specifically, the registered BPOC as entered on the proposal cover page on the DTRA proposal submission website). The e-mail will be sent from the DTRA proposal submission website on or about the date specified in Attachment 9. Formal debriefings for Quad Charts/White Papers will not be provided. However, a brief synopsis of the Government's evaluation in the form of a summary statement will be electronically available to Offerors via the DTRA proposal submission website. The e-mail notifications will advise of the statement availability. Phase II proposals will be evaluated against criteria as described in Attachment 10 of this BAA.


**NOTE: Any submission that does not conform to the requirements outlined in the BAA and in the invitation may not be reviewed or considered further.**

6.3.2. **Phase II - Proposal Submission and Content.** The Phase II proposal must be prepared in three separate volumes: Volume I – Technical Proposal; Volume II – Cost Proposal; and Volume III – Supplemental Information, to include a Statement of Work (SOW) and an updated Quad Chart. Each volume submitted must have page numbers and date.

6.3.2.1. Volume I – Technical Proposal. The technical proposal must include the components included in the template as shown in Attachment 4 of this BAA.

6.3.2.2. Volume II – Cost Proposal. The cost proposal must include the components included in the template and instructions as specified in Attachment 5 of this BAA.

6.3.2.3. Volume III – Supplemental Information. The supplemental information must include the components included in the instructions as specified in Attachment 6 of this BAA.

6.4. Submission File Formats. Each volume of the proposal must be submitted as a separate Portable Document File (PDF) compatible with Adobe Acrobat ® version 11.0.0 or earlier. Each individual file will not exceed 2 Mbytes of storage space (uncompressed) for Phase I submission and 5 Mbytes for Phase II submission of storage space (uncompressed). Movie and sound file attachments, or other additional files, will not be accepted. If multiple proposals are being submitted by the same institution, separate cover sheets must be generated for each proposal and the full proposal files must be uploaded with the associated cover sheet, since a unique document number will automatically be assigned to each submission by the electronic proposal tracking system. All documents submitted to the DTRA proposal submission website are considered works in progress and are not eligible for evaluation until the Offeror submits the final proposal package for consideration. The final submission must be 'locked' on the DTRA proposal submission website; until a submission has been 'locked' (saved as final); the submission is not eligible for review. Look for this 'lock' icon  on the DTRA proposal submission website. Offerors are responsible for ensuring compliant and final locked submission of their proposals, and can verify the submission of the proposal package with the electronic receipt that appears on the screen following submission of a proposal to the DTRA proposal submission website. Perform a virus check before uploading any proposal files. If a virus is detected, it may cause rejection of the file. Do not encrypt any files you upload.

## 6.5. Late Submissions and Withdrawal of Proposals.

6.5.1. Offerors are responsible for access to the DTRA proposal submission website and for submitting electronic proposals so as to be received at the Government site indicated in this BAA no later than the date specified in the Major Milestones, Attachment 9. When sending electronic files, the Offeror will account for potential delays in file transfer from the originator's computer server to the Government website/computer server. Offerors are encouraged to submit their proposals early to avoid potential file transfer delays due to high demand or problems encountered in the course of the submission. Offerors should also print, and maintain for their records, the electronic date/time stamped receipt that appears on the final screen following submission of a proposal on the DTRA proposal submission website. All submissions shall be fully uploaded before the cut off time/date in order to be considered – No exceptions.

6.5.2. Proposals may be withdrawn by written notice received at any time before award. Withdrawals are effective upon receipt of notice by the Contracting Officer via the e-mail address listed in Section 5.

## 7. TOPICS

Attachment 9 presents the list of topics with associated requirements for which proposals are sought. Each proposal submitted may address one topic only. It is incumbent on the Offeror to conduct independent research to understand how the specific technology proposed can be properly applied to the requirements. Offerors may submit multiple, discrete proposals.

## 8. INFORMATION TO BE REQUESTED FROM SUCCESSFUL OFFERORS

Offerors whose proposals are selected for potential award may be contacted to provide additional information required for award. Such information may include revisions to the costs or cost explanations and other information applicable to the proposed award. Offerors that are not responsive in a timely manner to Government requests for information (defined as meeting Government deadlines established and communicated with the requests) may be removed from award consideration as determined by the Contracting Officer. Offerors that request significant revisions to their proposals subsequent to their selection for potential award (including revisions to proposed intellectual property restrictions and proposed procurement instrument) may be removed from award consideration. Offerors may also be removed from award consideration if the Offeror and the Government fail to negotiate mutually agreeable terms within a reasonable period of time.

## 9. EXPORT CONTROL NOTIFICATION

Offerors are responsible for ensuring compliance with all export control laws and regulations that may be applicable to the export of and foreign access to their proposed technologies. Offerors may consult with the Department of State with any questions regarding the International Traffic in Arms Regulation (ITAR) (22CFR Parts 120 – 130) and/or the Department of Commerce regarding the Export Administration Regulations (EAR) (15 CFR Parts 730-774).

The Department of State publishes guidance on the ITAR at <http://www.pmddtc.state.gov>.  
Department of Commerce guidance on the EAR is located at <http://www.bis.doc.gov>.

## 10. LIMITATION ON OTHER TRANSACTIONS

Offerors are advised that an OTA may only be awarded if there is:

- a. At least one nontraditional defense contractor participating to a significant extent in the prototype project, or
- b. No nontraditional defense contractor is participating to a significant extent in the prototype project, but at least one of the following circumstances exists:
  - i. At least one third of the total cost of the prototype project is to be paid out of funds provided by the parties to the transaction other than the federal government. The cost share should generally consist of labor, materials, equipment, and facilities costs (including allocable indirect costs).
  - ii. Exceptional circumstances justify the use of a transaction that provides for innovative business arrangements or structures that would not be feasible or appropriate under a FAR/DFARS based contract.
- c. Although use of one of these options is required to use an OTA as the procurement vehicle, no single option is encouraged or desired over the others.

**NOTE:** For purposes of determining whether or not a participant may be classified as a nontraditional defense contractor and whether or not such participation is determined to be participating to a significant extent in the prototype project, the following definitions are applicable:

“Nontraditional defense contractor” means an entity that is not currently performing or has not performed, for at least the one-year period preceding this solicitation, any of the following for the Department of Defense:

- i. any contract or subcontract that is subject to full coverage under the cost accounting standards prescribed pursuant to section 26 of the Office of Federal Procurement Policy Act (41 U.S.C. 422)[41 USCS §§ 1501 et sequ.] and the regulations implementing such section; or
- ii. any other contract in excess of \$500,000 under which the contractor is required to submit certified cost or pricing data under section 2306a of this title [10 USCS § 2306a].

“Participating to a significant extent in the prototype project” means that the nontraditional defense contractor is supplying a new key technology or product, is accomplishing a significant amount of the effort wherein the role played is more than a nominal or token role in the research effort, or in some other way plays a significant part in causing a material reduction in the cost or schedule of the effort or an increase in performance of the prototype in question.

**NOTE:** Offerors are cautioned that if they propose the use of an OTA, the Government reserves the right to negotiate either a FAR based procurement contract, or OTA as it deems is warranted under the circumstances.

## 11. TECHNICAL AND ADMINISTRATIVE SUPPORT BY NON-GOVERNMENT PERSONNEL

It is the intent of DTRA to use non-government personnel (e.g. contractor support personnel) in the review and administration of all submittals (Phase I and Phase II) for this BAA. Participation in the BAA requires DTRA J9CB Advisory and Assistance Services (A&AS) support contractor employees, contracted contract specialist support and proposal submission website support, listed hereto, to have access to proposal information including information that may be considered proprietary. Phase II proposals, in some instances, may require other non-government personnel from Academia to serve as peer reviewers with access to proposal information including information that may be considered proprietary. All individuals in these categories having access to any proprietary data shall execute nondisclosure agreements certifying that they will not disclose any information pertaining to this solicitation including any proposal submittals, the identity of any submitters, or any other information relative to the Offeror's proposal. The contracts for provision of support personnel contain Organizational Conflict of Interest provisions and include contractual requirements for non-disclosure of proprietary contractor information. Additionally, TASC employees in their role as an A&AS support contractor to DTRA will provide technical input in an advisory role as subject matter experts (SMEs) to the Government reviewers in addition to providing administrative support in the management of the proposals and their technical review. All Offerors to this BAA consent to the disclosure of their information to the companies listed below, their subcontractors, and Academia peer reviewers under these conditions.

Exelis, Inc.,  
2560 Huntington Ave. # 200,  
Alexandria, VA 22303-1404

TASC, Inc.  
4805 Stonecroft Boulevard  
Chantilly, VA 20151

Institute for Defense Analyses  
4850 Mark Center Drive  
Alexandria, VA 22311

Suntiva, LLC  
7600 Leesburg Pike, Suite 440E  
Falls Church, VA 22043

SBG Technology Solutions, Inc.  
1000 North Payne Street, Suite 300  
Alexandria, VA 22314

## 12. MANUFACTURING READINESS LEVELS (MRL)

12.1. The Government Accountability Office (GAO) has issued a Report to Congressional Committees titled "Best Practices: Stronger Practices Needed to Improve DoD Technology

Transition Processes” (September 2006, GAO-06-883). The report can be accessed at: <http://www.zyn.com/sbir/reference/GAO-d06883.pdf> or obtain summary at: <http://www.gao.gov/highlights/d06883high.pdf>

12.2. In an attempt to address the concerns of the GAO, certain technology topics in this BAA (Attachment 9) may state “MRL should be considered”. For those topics, refer to the following questions presented below. Although these questions do not need to be specifically addressed in the proposal submission, these questions will be addressed during the project’s period of performance to facilitate opportunities to better improve the potential for transitioning the technology development to an acquisition program.

### 12.3. Manufacturing Readiness Level Questions

12.3.1. Has the technology reached a minimum Technology Readiness Level (TRL) 4 or higher? Refer to Attachment 1 for TRL definitions.

12.3.2. If yes, give consideration to the following Manufacturing Readiness Level questions, where applicable:

#### 12.3.2.1. General

- Is the technology reproducible?
- If so, have the critical features and attributes been characterized using quantitative methods?
- Are the performance and/or purity requirements measurable using standard laboratory methods?

#### 12.3.2.2. Technology and Industrial Base

- Have manufacturing capabilities been anticipated/identified that are not readily available in the current industrial base?
- Are any potential manufacturing shortfalls documented?
- Are new materials, components, skills, and facilities anticipated?
- If so, are any potential sources/resources identified and documented?
- Have commercial potentials (e.g., spin-on, spin-off and dual-use) been considered?

#### 12.3.2.3. Materials

- Have all concept materials been compared to EPA lists of hazardous materials?
- Are any potential hazards identified and documented for the manufacture or use of the technology?

## 13. SYSTEM FOR AWARD MANAGEMENT (SAM)

13.1. DTRA requires that all Offerors be registered in the SAM database at the time of Phase I proposal submission. Contractors must keep their registration current for the life of the contract.

13.2. Offerors may register with SAM by calling the SAM Customer Service Center at 1-866-606-8220 or register online at <http://www.sam.gov>. Offerors will NOT be able to complete their

SAM registration until SAM has confirmed the Offeror's Employer Identification Number (EIN) or Taxpayer Identification Number (TIN) with the Internal Revenue Service (IRS).

NOTE: It will take 24-48 hours for IRS to validate the TIN. According to the IRS, if Offerors do not currently have an EIN and need to apply for one over the phone or Internet, they will be given a tentative EIN, but the EIN may not become active for up to two (2) weeks. Questions regarding an EIN may be directed at 1-800-829-4933.

13.3. Representations and Certifications must be completed at the time of Phase II submission. The Offeror must complete the annual representations and certifications electronically via the SAM website at <http://www.sam.gov>. After reviewing the SAM information, the Offeror verifies by submission of the offer that the representations and certifications currently posted electronically have been entered or updated within the last 12 months, inclusive of the following:

- FAR 52.209-7 Information Regarding Responsibility Matters;
- FAR 52.225-20 Prohibition on Conducting Restricted Business Operations in Sudan-- Certification;
- DFARS Provisions 252.209-7001, Disclosure of Ownership or Control by the Government of a Terrorist Country;
- DFARS 252.247-7022 Representation of Extent of Transportation by Sea; and
- DFARS 252.225-7031 Secondary Area Boycott of Israel;
- DFARS 252.203-7000 Requirements Relating to Compensation of Former DoD Officials.
- DFARS 252.203-7005 Representation Relating to Compensation of Former DoD Officials.
- DFARS 252.209-7003 Reserve Officer Training Corps and Military Recruiting on Campus-Representation.
- DFARS 252.209-7997 Representation by Corporations Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction Under Any Federal Law-DoD Appropriations (Deviation 2013-O0006).

NOTE: If any of the above mentioned provisions are not contained in the SAM database, the Offeror is required to acknowledge and submit in writing documentation that they have read and understand each provision.

Additionally, the Offeror is required to verify that the electronic representations and certifications are current, accurate, complete, and applicable to this BAA, including the business size standard applicable to the NAICS code referenced (541711) for this BAA, as of the date of this offer and are incorporated in this offer by reference (see FAR 4.1201).

#### 14. PROTECTION OF HUMAN SUBJECTS

14.1. If the proposed work involves human subjects or materials, Offerors are required to outline the human use, to include the source of the human subjects or materials involved in the work. Further information may be required if the proposal is successful.

14.2. All work under any award made under this BAA involving human subjects must be conducted in accordance with 32 CFR 219, 10 U.S.C. § 980, and DoD Instruction 3216.2, and, as applicable, 21 CFR parts 11, 50, 56, GCP, the ICH as well as other applicable federal and state regulations. Contractors must be cognizant of and abide by the additional restrictions and limitations imposed on the DoD regarding research involving human subjects, specifically as regards to vulnerable populations (32 CFR 219 modifications to subparts B-D of 45 CFR 46), recruitment of military research subjects (32 CFR 219), and surrogate consent (10 U.S.C. § 980).

14.3. DTRA Directive 3216.01 of October 21, 2011 establishes the DTRA Human Subjects Protection Program, sets forth the policies, defines the applicable terms, and delineates the procedures necessary to ensure DTRA compliance with federal and DoD regulations and legislation governing human subject research. The regulations mandate that all DoD activities, components, and agencies protect the rights and welfare of human subjects of study in DoD supported research, development, test and evaluation, and related activities hereafter referred to as “research.” The requirement to comply with the regulations applies to new starts and to continuing research.

14.4. The DTRA Directive requires that research using human subjects may not begin or continue until the DTRA Research Oversight Board (ROB) has reviewed and approved the proposed protocol. Contractors and subcontractors are required to submit a valid federal assurance for their organization (institution, laboratory, facility) that has been issued by either DoD or the Department of Health and Human Services, and documentation of review of proposed protocols by the local Institutional Review Board (IRB) to include consent forms for any planned research using human subjects to the ROB for its review through the contracting officer’s representative (if assigned) or the contracting officer. The ROB review is separate from, and in addition to, local IRB review.

14.5. A study is considered to involve human research subjects if: 1) there is interaction with the subject (even simply talking to the subject qualifies; no needles are required); and 2) if the study involves collection and/or analysis of personal/private information about an individual, or if material used in the study contains links to such information.

14.6. Written approval to begin research or to subcontract for the use of human subjects under the proposed protocol will be provided in writing from the DTRA ROB, through the contracting officer. Both the contractor and the Government must maintain a copy of this approval. Any proposed modifications or amendments to the approved protocol or consent forms must be submitted to the local IRB and the DTRA ROB for review and approval. Examples of modifications/amendments to the protocol include but are not limited to:

- a change of the Principal Investigator;
- changes in duration or intensity of exposure to some stimulus or agent;
- changes in the information requested of volunteers, or changes to the use of specimens or data collected; or
- changes in perceived or measured risks or benefits to volunteers that require changes to the study.



14.7. Research pursuant to such modifications or amendments must not be initiated without IRB and ROB approval except when necessary to eliminate apparent and immediate hazards to the subject(s).

14.8. Research projects lasting more than one year require IRB review at least annually, or more frequently as required by the responsible IRB. ROB review and approval is required annually. The contractor or subcontractor must provide documentation of continued IRB review of protocols for ROB review and approval in accordance with the Contract Data Requirements List. Research must not continue without renewed ROB approval unless necessary to eliminate apparent and immediate hazards to the subject(s).

14.9. A clause regarding human subjects research will be included in all contracts involving human subjects research. Non-compliance with any provision of this clause may result in withholding of payments under the contract pursuant to the terms and conditions. The Government shall not be responsible for any costs incurred for research involving human subjects prior to protocol approval by the ROB.

14.10. The contract clauses regarding the use of humans are DFARS 252.235-7004 Protection of Human Subjects and DTRA local clause 252.223-9002 Protection of Human Subjects. Both clauses may be found in Exhibits 1-5.

## 15. ANIMAL USE

15.1. If the proposed research involves the use of live nonhuman vertebrate animals, Offerors are required to describe the proposed animal use and type of animals being used. The Animal Care and Use Review Office (ACURO), a component of the USAMRMC Office of Research Protections (ORP), must review and approve all animal use prior to the start of working with animals. Therefore, the contractor will be required to complete and submit the animal use appendix titled "Research Involving Animals", after award of contract, which can be found on the ACURO website:

([https://mrmc-www.army.mil/index.cfm?pageid=Research\\_Protections.acuro&rn=1](https://mrmc-www.army.mil/index.cfm?pageid=Research_Protections.acuro&rn=1)).

Allow two to four months for regulatory review and approval processes for animal studies. Offerors are to build the review time into their project schedules.

15.2. DoD Directive 3216.01, dated September 13, 2010, provides policy and requirements for the use of animals in DoD-funded research. The DoD definition of animal is any live nonhuman vertebrate. All proposals that involve the use of animals must be in compliance with DoD Directive 3216.01 and AR 40-33. For animals, the provisions include rules regarding animal acquisition, transport, care, handling, and use in: (i) 9 CFR parts 1-4, Department of Agriculture rules that implement the Laboratory Animal Welfare Action of 1966 (U.S.C. 2131-2156); and (ii) the "Guide for the Care and Use of Laboratory Animals," National Institutes of Health Publication No. 86-23.

15.3. The contract clauses regarding the use of animals are DFARS 252.235-7002 Animal Welfare and DTRA local clause 252.235-9001 Prohibition of the use of Laboratory Animals. Both clauses may be found in Exhibits 1-5.

#### 16. BIOLOGICAL DEFENSE RESEARCH PROGRAM (BDRP) REQUIREMENTS: BIOSURETY AND SELECT AGENT USE; CHEMICAL AGENT USE

16.1. Proposals must specify what Select Agent work will be conducted at the Offeror's facility and what Select Agent work will be performed in other facilities. Proposals also must provide the source of the Select Agents, any appropriate registration information for the facilities, and specify the Laboratory Biosafety Level. All Select Agent work is subject to verification of information and certifications.

16.2. For those contractors conducting research with Bio-safety Levels 3 and 4 material, a Facility Safety Plan must be prepared and made available during the project award phase in accordance with 32 Code of Federal Regulations (CFR) 626.18. DTRA requires that research using Select Agents not begin or continue until DTRA has reviewed and approved the proposed agent use. DTRA clause 252.203-9004 Etiological Agents – Biological Defense Research Program can be found in Exhibits 1-5.

16.3. Proposals that will employ the use of chemical agents, either neat agent or dilute agent, the Offeror must provide approved Facility Standard Operating Procedures that conform to Federal, State, and local regulations and address the storage, use and disposition of these chemical materials.

#### 17. ORGANIZATIONAL CONFLICT OF INTEREST ADVISORY

17.1. Certain post-employment restrictions on former federal officers and employees may exist, including special Government employees (including but not limited to Section 207 of Title 18, United States Code, the Procurement Integrity Act, 41 U.S.C. 423, and FAR 3.104). If a prospective Offeror believes that a conflict of interest exists that relates to the above restrictions, the situation should be raised to the DTRA Contracting Officer before time and effort are expended in preparing a proposal. Send notification of potential conflict of interest via an e-mail message to the e-mailbox listed in Section 5.

17.2. All Offerors and proposed subcontractors also must affirmatively disclose whether or not they are providing scientific, engineering and technical assistance (SETA), A&AS or similar support, through an active contract or subcontract, to any DTRA technical office(s), the Joint Program Executive Office for Chemical and Biological Defense (JPEO), Assistant to the Secretary of Defense for Nuclear, Chemical, and Biological Defense Programs (ATSD-NCB), or the Office of the Special Assistant for Chemical and Biological Defense and Chemical Demilitarization Programs (OSA (CBD&CDP)). All disclosures must state which office(s) the Offeror supports, and identify the prime contract number. Disclosures must be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organizational conflicts of interest (FAR 9.5) must be disclosed, including facts not specifically described above. The disclosure must include a description of the action the Offeror has taken or proposes to take to avoid, neutralize, or mitigate such conflict.

## 18. INTELLECTUAL PROPERTY

18.1. PATENTS. Offerors must list any known patents, patent applications, or inventions which the Offeror may be required to license in order to perform the work described in the Offeror's proposal, or which the Government may be required to license to make or use the deliverables of the contract should the Offeror's proposal be selected for award. For any patent or patent application listed above, the Offeror must provide the patent number or patent application publication number, a summary of the patent or invention title, and indicate whether the Offeror is the patent or invention owner. If a patent or invention is un-licensed by the Offeror, identify the licensor.

18.1.1. If any listed patent, patent application or invention is owned or licensed by the Offeror, the Offeror must provide a statement, in writing, if it either owns or possesses the appropriate licensing rights to patent, patent application or invention to perform the work described in the proposal and/or to grant the Government a license to make or use the deliverables for this program. If any listed patent, patent application or invention is not owned or licensed by the Offeror, then the Offeror must explain how it will obtain a license, how the Government may obtain a license and/or whether the Offeror plans to obtain these rights on behalf of the Government.

18.1.2. Be advised that no patent, patent application or invention disclosure will be accepted if identified in the Data Rights Assertion list described in subsection 18.2 below. Government rights in patents, patent applications, and invention disclosures are addressed in the patent rights clause to be included in the contract and therefore, no assertion of limited rights in patents or patent applications will be accepted. **The list of patents, patent applications and inventions of this section must be a separate list from the Data Rights Assertion list described below.**

**18.2. Offerors responding to this BAA requesting a contract to be issued under the FAR/DFARS shall submit a Data Rights Assertions List, which shall identify all technical data and computer software, to the extent known at the time that their offer is submitted to the Government.** The Data Rights Assertions List shall describe whether the Offeror, its subcontractors or suppliers, and potential subcontractors or suppliers, will furnish to the Government with less than "unlimited rights" to use, release and disclosure in accordance with DFARS 252.227-7017, Identification and Assertion of Use, Release or Disclosure Restrictions, and DFARS 252.227-7028, Technical Data or Computer Software Previously Delivered to the Government. The Data Rights Assertion List will contain a table of data deliverables to be furnished to the Government with rights restrictions, as illustrated in DFARS 252.227-7017 (d). The table below shall be used to provide the statement given in DFARS 252.227-7017 (d), signed and dated by an official authorized to contractually obligate the Offeror. If the Offeror will deliver all technical data and computer software to the Government without restrictions, enter "NONE" in this table under the heading "Technical Data or Computer Software to be Furnished with Restrictions."

Identification and Assertion of Restrictions on the Government's Use, Release, or Disclosure of Technical Data or Computer Software.

The Offeror asserts for itself, or the persons identified below, that the Government's rights to use, release, or disclose the following technical data or computer software should be restricted:

Technical Data or Computer Software to be Furnished With Restrictions*	Basis for Assertion**	Asserted Rights Category***	Name of Person Asserting Restrictions****
(LIST)*****	(LIST)	(LIST)	(LIST)

\*For technical data (other than computer software documentation) pertaining to items, components, or processes developed at private expense, identify both the deliverable technical data and each such item, component, or process. For computer software or computer software documentation identify the software or documentation.

\*\*Generally, development at private expense, either exclusively or partially, is the only basis for asserting restrictions. For technical data, other than computer software documentation, development refers to development of the item, component, or process to which the data pertain. The Government's rights in computer software documentation generally may not be restricted. For computer software, development refers to the software. Indicate whether development was accomplished exclusively or partially at private expense. If development was not accomplished at private expense, or for computer software documentation, enter the specific basis for asserting restrictions.

\*\*\*Enter asserted rights category (e.g., government purpose license rights from a prior contract, rights in SBIR data generated under another contract, limited, restricted, or government purpose rights under this or a prior contract, or specially negotiated licenses).

\*\*\*\*Corporation, individual, or other person, as appropriate.

\*\*\*\*\*Enter "none" when all data or software will be submitted without restrictions.

Date \_\_\_\_\_

Printed Name and Title \_\_\_\_\_

\_\_\_\_\_

Signature \_\_\_\_\_

18.3. Offerors responding to this BAA requesting an OTA shall specifically identify any asserted restrictions on the Government's use of intellectual property contemplated under those award instruments. For this purpose, Offerors must propose specific Intellectual Property terms and conditions and a data deliverable list. Offerors are encouraged to model their data rights assertions list to the template provided in DFARS 252.227-7017.

## 19. EARNED VALUE MANAGEMENT SYSTEM

All proposals which will result in a FAR based cost reimbursement type contract and have an estimated total dollar value greater than \$20 million are required to have an Earned Value Management System (EVMS) in accordance with DFARS 252.234-7002. Offerors proposing work with an estimated total dollar value greater than \$20 million should not include EVMS with the Phase II proposal. Any EVMS requirements will be added during negotiations, if necessary.

## 20. SUBCONTRACTING

20.1. Any Offeror, other than small businesses, submitting a proposal for an award with a value more than the amount listed in FAR 19.702(a)(1) and that has subcontracting possibilities, must submit a subcontracting plan in accordance with FAR 19.7. Pursuant to Section 8(d) of the Small Business Act (15 U.S.C. § 637(d)), it is the policy of the Government to enable small business and small disadvantaged business concerns to be considered fairly as subcontractors to contractors performing work or rendering services as prime contractors or subcontractors under Government contracts, and to assure that prime contractors and subcontractors carry out this policy.

20.2. A subcontracting plan identifies the Offeror's approach to awarding subcontracts to small business, small disadvantaged business, women-owned small business, service-disabled veteran owned small business, and Historically Underutilized Business Zone (HUB Zone) small business concerns, on this effort. A DCMA approved master plan may be submitted in lieu of an individual contract plan. The narrative in the subcontract plan must address each element listed in FAR 19.704(a)(1)-(11). The emphasis of the plan must be to maximize small business participation to the maximum extent practicable. The current DoD subcontracting goals are as follows:

<u>Percentage of subcontracted dollars</u>	
Small Business	36.7%
HUB Zone Small Business	3%
Small Disadvantaged Business	5%
Women-Owned Small Business Concerns	5%
Service-Disabled Veteran Owned Small Business	3%

Note: Provide rationale if the Small Disadvantaged Business goal cannot be achieved per DFARS 219.705-4(d)

## 21. RECOMMENDED AWARD VEHICLE AND CONTRACT TYPE

Offerors must include a recommended award vehicle (e.g., FAR based contract, OTA) and contract type (e.g., cost, cost-plus-fixed-fee, etc.) and include rationale for their use. However, the Government reserves the right to make the final determination and award the type determined most appropriate under the specific acquisition. It is anticipated that most contracts will be FAR based contracts with a Cost or Cost-Plus-Fixed-Fee pricing arrangement.

## 22. AUTHORIZED NEGOTIATORS

Offerors must include the name, title, mailing address, telephone number, fax number, and e-mail address of the company, BPOC and any personnel authorized to negotiate with the Government and who is authorized to obligate the Offeror contractually.

## 23. STATEMENT OF CURRENT AND PENDING SUPPORT

Offerors must include a statement of current and pending support of all related work that is currently receiving or may potentially receive financial support. This information must be included for each investigator listed in the proposal.

## 24. MODIFIED PREAWARD CHECKLIST - SF1408

Any offeror awarded a cost type contract must be in compliance with FAR 16.301-3 "Limitations" restrictions. Specifically, the contractor's accounting system must be adequate for determining costs applicable to the contract; and will be subject to DCAA audit and surveillance during performance to provide reasonable assurance that efficient methods and effective cost controls are being used. Offeror's are required to submit a Modified Preaward Checklist (SF 1408), which will expedite the pre-award survey of the accounting system by DCAA. Refer to [www.dcaa.mil](http://www.dcaa.mil) for further assistance preparing an adequate cost proposal.

## 25. FORWARD PRICING RATE AGREEMENT

Offerors should include a copy of any current Forward Pricing Rate Agreements with Government agencies, such as Defense Contract Management Agency (DCMA) or the Office of Naval Research (ONR). If no agreement has been made with a Government representative, provide all rates, factors, and bases by year utilized in the development of the proposal and the basis of those rates and factors.

## 26. CONFIRMED PROPOSAL EXPIRATION DATE

Offerors must provide written confirmation that cost proposals will remain valid for a period of one year after the Phase II submission closing date. Offerors may be asked to revalidate their proposal expiration date.

## 27. EXHIBITS: STANDARD FAR/DFARS/DTRA CLAUSES

The separately attached EXHIBITS 1-5 are supplied as a guide for offerors to review potential FAR, DFARS, and DTRA clauses that may be included in awards resulting from this BAA. The templates reflect current clauses required by regulation at the date of BAA posting; however, the FAR and its supplements are amended periodically to reflect current Federal Statutes. It should be noted that the clauses applicable to each contract will be negotiated on a proposal-by-proposal basis. The exhibits are supplied as a planning tool for offerors to build good proposals and familiarize themselves with expediting future awards that may occur throughout the period of the BAA. The templates are based on business size or status as follows:

**EXHIBIT 1: LARGE BUSINESS STANDARD CLAUSES**

**EXHIBIT 2: SMALL BUSINESS STANDARD CLAUSES**

**EXHIBIT 3: NON-PROFIT ORGANIZATION STANDARD CLAUSES**

**EXHIBIT 4: UNIVERSITY STANDARD CLAUSES**

**EXHIBIT 5: INTERNATIONAL STANDARD CLAUSES**

## 28. EXHIBIT: CONTRACT DATA REQUIREMENTS LIST (CDRL)

The separately attached EXHIBIT 6 is a list of potential CDRLs in the form of DD Form 1423's reflecting potential deliverables under a contract awarded under this BAA. The CDRL lists those data deliverables that are required, under the terms of the contract, to be delivered to the Government in accordance with the information in the CDRL and the contract itself. The CDRL will identify the necessary information needed by the contractor to deliver acceptable data items to the Government. This includes a description of the data item, any acceptance criteria, the format of the deliverable, and any delivery information.

## 29. LIFE SCIENCES DUAL USE RESEARCH OF CONCERN (DURC)

29.1. If the proposed research involves use of any of the 15-specified agents/toxins listed in the U.S. Government Policy for Oversight of Life Sciences Dual Use Research of Concern; Offerors are required to evaluate the proposed project for DURC. All potential DURC projects must be outlined in detail, naming what agent(s) and what research procedure/protocol causes it to be DURC. This information, if applicable, must be included in Volume III, Supplemental Information, of the Phase II full proposal. Further information may be required if the proposal is successful.

29.2. All proposed DURC-identified projects must be conducted in accordance with the US Government Policy for Oversight of Life Sciences Dual Use Research of Concern. Web access for this policy can be found at the following URL: [http://oba.od.nih.gov/oba/biosecurity/pdf/united\\_states\\_government\\_policy\\_for\\_oversight\\_of\\_durc\\_final\\_version\\_032812.pdf](http://oba.od.nih.gov/oba/biosecurity/pdf/united_states_government_policy_for_oversight_of_durc_final_version_032812.pdf)

29.3. If a proposal contains DURC items, the proposal (in phase 2 submittals) should include a discussion of their understanding of DURC issues and risks, and a resultant proposed risk mitigation plan for ensuring DURC compliance throughout the duration of the proposed efforts

29.4. If DURC is applicable, see Attachment 12 for further instructions for the Statement of Work and CDRLs.

30. LIST OF ATTACHMENTS/EXHIBITS:

<b>ATTACHMENT 1</b>	TECHNOLOGY READINESS LEVEL DEFINITIONS
<b>ATTACHMENT 2</b>	QUAD CHART TEMPLATE
<b>ATTACHMENT 3</b>	PHASE I WHITE PAPER FORMAT AND PREPARATION INSTRUCTIONS
<b>ATTACHMENT 4</b>	PHASE II TECHNICAL PROPOSAL TEMPLATE AND PREPARATION INSTRUCTIONS
<b>ATTACHMENT 5</b>	PHASE II COST PROPOSAL TEMPLATE AND PREPARATION INSTRUCTIONS
<b>ATTACHMENT 6</b>	VOLUME III SUPPLEMENTAL INFORMATION
<b>ATTACHMENT 7</b>	STATEMENT OF WORK TEMPLATE AND PREPARATION INSTRUCTIONS
<b>ATTACHMENT 8</b>	PROPOSAL SUBMISSION CHECK LIST
<b>ATTACHMENT 9</b>	MAJOR MILESTONES & PROPOSAL TOPICS_Amendment 2
<b>ATTACHMENT 10</b>	EVALUATION CRITERIA AND SELECTION PROCESS_Amendment 1
<b>ATTACHMENT 11</b>	STANDARD FORM 1408
<b>ATTACHMENT 12</b>	DUAL USE RESEARCH CONCERN (DURC) INFORMATION_Amendment 2
<b>EXHIBITS</b>	STANDARD CONTRACT CLAUSES
<b>EXHIBIT 1</b>	LARGE BUSINESS TEMPLATE
<b>EXHIBIT 2</b>	SMALL BUSINESS TEMPLATE
<b>EXHIBIT 3</b>	NON-PROFIT TEMPLATE
<b>EXHIBIT 4</b>	UNIVERSITY TEMPLATE



**EXHIBIT 5** INTERNATIONAL TEMPLATE

**EXHIBIT 6** CONTRACT DATA REQUIREMENTS LIST (CDRL)

**NOTE: Contract Clauses may be accessed through:**  
**[Http://farsite.hill.af.mil](http://farsite.hill.af.mil)**